

104TH CONGRESS
2D SESSION

H. R. 3158

To amend the Small Business Act to extend the pilot Small Business
Technology Transfer program, and for other purposes.

IN THE HOUSE OF REPRESENTATIVES

MARCH 25, 1996

Mrs. MEYERS of Kansas (for herself, Mr. POSHARD, Mr. TORKILDSEN, and
Mr. LAFALCE) introduced the following bill; which was referred to the
Committee on Small Business

A BILL

To amend the Small Business Act to extend the pilot Small
Business Technology Transfer program, and for other
purposes.

1 *Be it enacted by the Senate and House of Representa-*
2 *tives of the United States of America in Congress assembled,*

3 **SECTION 1. SHORT TITLE.**

4 This Act may be cited as the “Pilot Small Business
5 Technology Transfer Program Extension Act of 1996”.

6 **SEC. 2. PROGRAM EXTENSION.**

7 Section 9(n) of the Small Business Act (15 U.S.C.
8 638(n)) is amended—

9 (1) in paragraph (1)—

1 (A) by striking “in fiscal year 1994, 1995,
2 or 1996,”;

3 (B) by striking “and” at the end of sub-
4 paragraph (B);

5 (C) by striking the comma at the end of
6 subparagraph (C) and inserting “; and”; and

7 (D) by inserting after subparagraph (C)
8 the following new subparagraph:

9 “(D) not less than 0.25 percent of such
10 budget in fiscal year 1997 and each succeeding
11 fiscal year,”; and

12 (2) by adding at the end the following new
13 paragraph:

14 “(4) PROGRAM EXPIRATION.—Authorization to
15 carry out the STTR program pursuant to this sub-
16 section (and subsections (o) and (p) of this section)
17 shall expire on September 30, 2000.”.

18 **SEC. 3. ASSESSMENT BY THE COMPTROLLER GENERAL.**

19 (a) ASSESSMENT REQUIRED.—The Comptroller Gen-
20 eral of the United States shall conduct an assessment of
21 the ongoing implementation of the Small Business Innova-
22 tion Research (SBIR) program and the pilot Small Busi-
23 ness Technology Transfer (STTR) program. The assess-
24 ment shall address the following issues with respect to
25 each program:

1 (1) The extent of competition and the quality of
2 proposals submitted for the award of SBIR and
3 STTR agreements, and the quality of subsequent
4 performance by the recipients of such awards.

5 (2) Whether any adverse effects on the research
6 or research and development programs of any spon-
7 soring agency are attributable to the agency's par-
8 ticipation in the SBIR program or the pilot STTR
9 program.

10 (3) Whether any awards by a sponsoring agen-
11 cy in each fiscal year represent the applicable per-
12 centages of such agency's extramural budget, identi-
13 fying any systemic management weaknesses contrib-
14 uting to such limitation on implementation.

15 (4) Any management techniques initiated by
16 sponsoring agencies that attempt to minimize delays
17 between the successful completion of a Phase I
18 agreement and the award (and commencement of
19 performance) under a Phase II agreement or amelio-
20 rate the adverse effects of such delays.

21 (5) The implementation of Phase III by partici-
22 pating agencies, including awards in support of
23 Phase III and other techniques adopted by the agen-
24 cies to foster commercialization.

1 (6) The extent to which small business partici-
2 pants in each program, especially recipients of
3 STTR awards, utilize the results of research under-
4 taken for Federal agencies by universities, federally
5 funded research and development centers, and other
6 research institutions, and the extent to which the re-
7 sults were subsequently developed by such small
8 firms to meet the needs of Federal, State, and local
9 government or advanced to use in the commercial
10 marketplace.

11 (7) Whether the required and structured col-
12 laboration between a small business and a research
13 institution under the pilot STTR program is nec-
14 essary in light of the experiences with voluntary col-
15 laborations under the SBIR program.

16 (8) Any duplication between the SBIR program
17 and the pilot STTR program.

18 (9) Any other relevant information as deter-
19 mined by the Comptroller General.

20 (b) PERIOD OF ASSESSMENT.—The assessment re-
21 quired by subsection (a) shall focus on the implementation
22 of each program during the period beginning October 1,
23 1995 and ending September 30, 1999.

24 (c) REPORT.—

1 (1) SUBMISSION OF REPORT.—The Comptroller
2 General shall submit a report of the assessment re-
3 quired by subsection (a) to the Committees on Small
4 Business of the United States Senate and House of
5 Representatives not later than February 1, 2000.

6 (2) APPENDICES TO REPORT.—The report shall
7 include—

8 (A) an appendix summarizing the findings
9 of previous reports issued by the Comptroller
10 General with respect to the SBIR program and
11 the pilot STTR program; and

12 (B) an appendix listing reports of other as-
13 sessments of the SBIR program or the pilot
14 STTR program issued by the Small Business
15 Administration, any of the sponsoring agencies,
16 and any other entities determined by the Comp-
17 troller General to be useful resources to the
18 Congress in evaluating each program for reau-
19 thorization.

20 **SEC. 4. INTERAGENCY TASK FORCE ON COMMERCIALIZA-**
21 **TION.**

22 (a) IN GENERAL.—The Administrator of the Small
23 Business Administration shall convene and supervise an
24 interagency task force on fostering commercialization of
25 the results of projects being undertaken by small business

1 concerns through the SBIR program and the pilot STTR
2 program.

3 (b) DUTIES.—The interagency task force shall—

4 (1) review existing studies and analyses and
5 conduct independent assessments, as may be appro-
6 priate, regarding the obstacles faced by small busi-
7 ness entrepreneurs seeking to commercialize results
8 of basic research or research and development un-
9 dertaken through Federal funding;

10 (2) devise recommendations to overcome (or
11 minimize the effects of) such obstacles; and

12 (3) address other matters that the Adminis-
13 trator determines are appropriate to ensure a com-
14 prehensive analysis and the development of practical
15 recommendations.

16 (c) PARTICIPATION.—

17 (1) TASK FORCE MEMBERSHIP.—The inter-
18 agency task shall include participation by represent-
19 atives of—

20 (A) the Office of the Chief Counsel for Ad-
21 vocacy of the Small Business Administration;

22 (B) the 5 Executive agencies having the
23 greatest dollar value of awards under the SBIR
24 program in fiscal year 1995;

1 (C) the Executive agencies participating in
2 the pilot STTR program in fiscal year 1995;

3 (D) the Office of Science and Technology
4 Policy, Executive Office of the President; and

5 (E) any other Executive agencies invited
6 by the Administrator.

7 (2) PUBLIC PARTICIPATION.—In undertaking
8 its assessments and fashioning its recommendations,
9 the interagency task force shall provide opportunities
10 for consultation with representatives of—

11 (A) small businesses and other entities
12 that have participated in the SBIR program or
13 the pilot STTR program;

14 (B) organizations representing small busi-
15 ness concerns;

16 (C) organizations representing venture
17 capital sources, especially those focusing on the
18 needs of small high-technology entrepreneurs;
19 and

20 (D) any other public or private entities
21 that the Administrator determines are appro-
22 priate.

23 (d) SCHEDULE.—

24 (1) NOTICE AND INITIAL CALL FOR PUBLIC
25 PARTICIPATION.—Not earlier than May 1, 1997, the

1 Administrator shall publish in the Federal Register
2 (and through other means likely to result in broad
3 dissemination) a notice, which at a minimum, an-
4 nounces the existence of the interagency task force,
5 identifies the members of task force, summarizes
6 purposes and objectives of the task force, requests
7 suggestions and recommendations from the public
8 regarding the work of the task force, providing at
9 least 180 days to make a submission in response to
10 such notice, and announces any schedule of meetings
11 of the task force or other public meetings.

12 (2) ON-GOING PUBLIC PARTICIPATION.—In con-
13 ducting its assessments and fashioning its rec-
14 ommendations the task force shall make every rea-
15 sonable effort to solicit ideas from the public.

16 (e) REPORT.—Not later than March 1, 1999, the Ad-
17 ministrator shall submit to the Committees on Small Busi-
18 ness of the United States Senate and House of Represent-
19 atives a report of the work of the interagency task force,
20 including such recommendations for legislative or adminis-
21 trative action.

1 **SEC. 5. TECHNICAL CORRECTION.**

2 Section 9(e)(4)(A) of the Small Business Act (15
3 U.S.C. 638(e)(4)(A)) is amended by striking “(B)(ii)” and
4 inserting “B”.

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